

12/06/01
JU131 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL
(for Noncontinuing, Nonprovisional Applications under 37 C.F.R. §1.53(b))

Attorney Docket No. 7372/72249

JC971 U.S. PTO
10/04/15
12/06/01

Box PATENT APPLICATION)
Commissioner of Patents and)
Trademarks)
ATTENTION: Assistant Commissioner for)
Patents)
Washington, D.C. 20231)
Sir:)
Transmitted herewith for filing under)
37 C.F.R. §1.53(b) is the)
nonprovisional, noncontinuing)
patent application for:)
Title: Process For Producing Optically)
Active 4-Halo-3-)
Hydroxybutanoate) December 6, 2001

First Named Inventor or Application
Identifier: ASAOKO et al.

- 79 pages of the specification (including claims & Abstract are enclosed).
- Sequence Listing (pages 1-25) separately listed.
- _____ sheet(s) of drawings are enclosed. Formal Informal
- An executed Oath or Declaration and Power of Attorney naming the actual inventors is enclosed.
- The names of persons believed to be the actual inventors are set forth in the enclosed unexecuted Oath or Declaration and Power of Attorney (§1.41(a) and §1.53(b)).
- Application assigned to Sumitomo Chemical Limited, Co..
 - A check in the amount of \$_____ to cover the fee for recording the assignment is enclosed.
- A 37 C.F.R. §3.73(b) statement is enclosed where an assignee seeks to take action.

- An Information Disclosure Statement is enclosed.
- A Form PTO-1449 is enclosed.
- _____ References (copies) listed on the Form PTO-1449 are enclosed.
- A Return Receipt Postcard is enclosed (MPEP §503).
- Priority of application number 2000-372704, 7 Dec 2000, 2001-006144, filed 15 Jan 2001, 2001-026594, filed 2 Feb 2001 and 2001-175175, filed 11 June 2001 in Japan are claimed under 35 U.S.C. §119.
- A certified copy of the priority document is enclosed.
- A Computer Program Listing Appendix is enclosed.
- A Transmittal Cover Letter for Computer Program Listing Appendix is enclosed.
- Two (2) Compact Discs are enclosed.
- A Nucleotide and/or Amino Acid Sequence Submission is enclosed.
- A Computer Readable Copy is enclosed.
- A Paper Copy (Identical to Computer Copy) is enclosed.
- A Statement Verifying Identity of above Copies is enclosed.
- The filing fee is calculated below:

Fee Calculation For Claims As Filed

Basic Fee	\$ 740.00
Independent Claims	6 - 3 = 3 x \$ 84.00 = \$ 252.00
Total Claims	<u>49</u> - <u>20</u> = <u>29</u> x <u>\$ 18.00</u> = <u>\$ 522.00</u>
Fee for Multiply Dependent Claims	<u>\$280.00</u>
	<u>Total Filing Fee</u> <u>\$ 1,514.00</u>

- Applicant(s) assert entitlement to Small Entity Status, reducing the Filing Fee by half to: \$ 757.00
- A check in the amount of \$ _____ to cover the filing fee is enclosed.
- Charge \$ _____ to Deposit Account No. 06-1135.

- The payment of the Filing Fee is to be deferred until the Declaration is filed. Do not charge our Deposit Account.
- A separate written request under 37 C.F.R. §1.136(a)(3), which is a general authorization to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. §1.136(a) for its timely submission as incorporating a petition for an extension of time for the appropriate length of time, is enclosed.
- The Commissioner is hereby authorized to charge any additional fees which may be required in this application under 37 C.F.R. §§1.16-1.17 during its entire pendency, or credit any overpayment, to Deposit Account No. 06-1135. Should no proper payment be enclosed herewith, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 06-1135. This sheet is filed in triplicate.
- Also enclosed: Inventors' Data Sheet
- Address all future communications to Customer Number 22242.



December 6, 2001
Date



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